

1 **In the Claims**
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5 **1-22. (Cancelled)**
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8 **23. (Currently Amended)** A method for providing restricted security
9 distribution instructions to a transfer agent comprising the steps of:

10 receiving distribution information from a Venture Capitalist ("VC") in
11 electronic form, the distribution information including data indicating for each
12 participant in the distribution a name, an identification number, and a number of
13 allocated securities;

14 importing the distribution information into a database system;

15 matching participants identified in the distribution information to
16 participant information previously entered in the database system;

17 associating each respective participant in the distribution information with a
18 contact from which instructions regarding ~~the~~a disposition of the allocated
19 securities to ~~the~~each respective participant can be obtained;

20 indicating contacts who must be contacted to obtain distribution
21 instructions for associated participants;

22 storing distribution instructions received from contacts in the database
23 system;

24 generating a report ~~containing~~ including received distribution instructions
25 for the participants in the distribution; and

26 providing the report to a transfer agent.

1 24. **(Original)** The method of claim 23, further comprising the step of
2 scrubbing the received information prior to the importing step.

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4 25. **(Original)** The method of claim 23, wherein the step of matching
5 participants comprises the steps of:

6 identifying previously stored records in the database system containing
7 matching identification numbers;

8 indicating differences between data in identified records and the
9 distribution data received from the VC; and

10 indicating participants in the distribution for which no matching previously
11 stored record was found.

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13 26. **(Original)** The method of claim 23, further comprising the step of
14 defining distribution restrictions for a particular participant.

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16 27. **(Original)** The method of claim 23, wherein the step of indicating
17 comprises the step of dynamically indicating the contacts for participants in the
18 distribution and a contact status for the indicated contacts.

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20 28. **(Original)** The method of claim 23, further comprising the step of
21 upon the selection of an indicated contact indicating all open items for which the
22 contact must be contacted.

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24 29. **(Original)** The method of claim 23, wherein the step of generating is

1 performed on a periodic basis.
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4 30. **(Original)** The method of claim 23, wherein the step of generating is
5 performed on demand.
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8 31. **(Original)** The method of claim 23, wherein the step of generating is
9 performed in response to the receipt of distribution instructions for at least one
10 participant.
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13 32. **(Currently Amended)** The method of claim 23, ~~wherein the report is~~
14 incremental further comprising:
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17 granting the transfer agent custody of the allocated securities for at least a
18 limited period of time, wherein the allocated securities are associated with
19 corresponding participants, and further wherein the transfer agent is configured to
20 perform incremental distributions of the securities in accordance with the
21 distribution instructions.
22

23 33. **(Currently Amended)** The method of claim 23, wherein the ~~report is~~
24 ~~provided to the transfer agent in electronic form~~indicating further comprises
25 sorting contacts in an order of urgency, such that contacts associated with more
exigent items are contacted before contacts associated with less exigent items.
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27 34. **(Original)** A system for generating restricted security distribution
28 instruction reports suitable for use by a transfer agent, the system comprising:
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1 a database;

2 at least one client computer system having access to the database;

3 a database import module configured to import into the database

4 distribution information received from an originating entity in electronic form, the

5 distribution information including data indicating for respective participants in the

6 distribution a name, an identification number, and a number of allocated

7 securities;

8 a participant matching module configured to match participants identified

9 in the distribution information to participant information previously stored in the

10 database;

11 a participant contact association module configured to associate each

12 participant in the distribution with a contact from which instructions regarding the

13 disposition of the securities allocated to the participant can be obtained;

14 a call queue module configured to indicate contacts who must be contacted

15 to obtain distribution instructions for associated participants;

16 at least one disposition module configured to store distribution instructions

17 received from the contacts; and

18 a participant instruction report module configured to generate a report

19 containing received instructions for the participants, the report suitable for

20 electronic transfer to the transfer agent.

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22 35. **(Original)** The system of claim 34, further comprising a scrubbing

23 module configured to format the received information and to verify that required

24 data fields are present prior to processing of the received information by the

1 import module.

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3 **36. (Original)** The system of claim 34, wherein the participant matching
4 module is configured to:

5 identify previously stored records in the database containing matching
6 identification numbers;

7 indicate differences between data in identified records and the distribution
8 data received from the originating entity; and

9 indicate participants in the distribution for which no matching previously
10 stored record was found.

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12 **37. (Original)** The system of claim 34, wherein the call queue module is
13 configured to dynamically indicate contacts for participants in the distribution and
14 a contact status for the indicated contacts.

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16 **38. (Original)** The system of claim 34, further comprising a contact detail
17 module configured to, upon the selection of an indicated contact, indicate all open
18 items for which the selected contact must be contacted.

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20 **39. (Original)** The system of claim 34, wherein the participant instruction
21 report module is configured to generate the report on a periodic basis.

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23 **40. (Original)** The system of claim 34, wherein the participant instruction
24 report module is configured to generate a report on demand.

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2 41. **(Original)** The system of claim 34, wherein the participant instruction
3 report module is configured to generate a report in response to the receipt of
4 instructions for at least one participant.

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6 42. **(Original)** The system of claim 34, wherein the participant instruction
7 report module configured to generate incremental reports.

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9 43. **(Original)** The system of claim 34, wherein the database comprises a
10 plurality of tables including tables forming:

11 an allotment cluster configured to store information related to distribution
12 tasks to be performed by the facilitator;

13 a participant cluster configured to store individual account level reference
14 information;

15 a content cluster configured to store contact reference information; and

16 a project cluster configured to store information related to specific security
17 distribution projects.